

Substitute Form PTO-1449

U.S. Department of Commerce  
Patent and Trademark Office

Attorney's Docket No.

10454-014002

Application No.

09/711,323

**Information Disclosure Statement**

**by Applicant**

(Use several sheets if necessary)

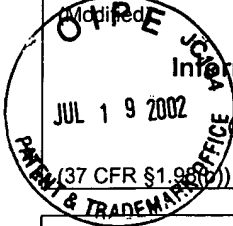
Applicant

Valdes, et al.

Filing Date

November 9, 2000

Group Art Unit



**U.S. Patent Documents**

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
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	AG						
	AH						
	AI						
	AJ						
	AK						

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**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
M	AL	WO 00/34867	15 June 2000	WIPO				
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
M	AQ	Debar, et al., "A Neural network Component for an Intrusion Detection System," 1992 IEEE
M	AR	Debar et al., "Towards a Taxonomy of Intrusion-Detection Systems," Computer Networks 31 (1999), 805-822
M	AS	Denning et al., "Requirements and Model for IDES—A Real-Time Intrusion-Detection Expert System," SRI Project 6169, SRI International, Menlo Park, CA, August 1985
M	AT	Denning, "An Intrusion-Detection Model," SRI International, Menlo Park, CA, Technical Report CSL-149, November 1985
M	AU	Garvey et al., "An Inference Technique for Integrating Knowledge from Disparate Sources," Proc. IJCAI< Vancouver, B.C., August, 1981, 319-325

Examiner Signature

*David Mandy*

Date Considered

4/2/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10454-014002	Application No. 09/711,323
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.8(b))		Applicant Valdes, et al.	
		Filing Date November 9, 2000	Group Art Unit

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
AM	AV	Garvey et al., "Model-Based Intrusion Detection," Proceedings of the 14 <sup>th</sup> National Computer Security Conference, Washington DC, October 1991
AM	AW	Goan, "A Cop On the Beat: Collecting and Appraising Intrusive Evidence," Communications of the ACM volume 42 number 7, pp. 46-52
AM	AX	Internet Security Systems Technology Brief, "Intrusion Detection for the Millennium"
AM	AY	Lunt, "A Survey of Intrusion Detection Techniques," Computers & Security, 12 (1993) 405-418
AM	AZ	Lunt, "Automated Audit Trail Analysis and Intrusion Detection: A Survey," Proceedings of the 11 <sup>th</sup> National Computer Security Conference, Baltimore, MD, October 1988
AM	AAA	Judea Pearl, <u>Probabilistic Reasoning in Intelligent Systems: Networks of Plausible Inference</u> , Morgan Kaufmann Publishers, 1988.
AM	ABB	Xavier Boyen and Daphne Koller, "Tractable Inference for Complex Stochastic Processes," Proceedings of the Fourteenth Annual Conference on Uncertainty in Artificial Intelligence (UAI-98), pp. 33-42, Madison, WI July 24-26, 1988.
AM	ACC	Joint SRI International and Stanford University Proposal EMU 98-79, "Adaptive Model-Based Monitoring and Thread Detection".

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U.S. Department of Commerce, Patent and Trademark Office					Docket No.		Serial No.	
(PT) Form 1449 modified					SRI/4190-3		09/711,323	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>					Applicant de Jesus Valdes, et al.		Confirmation No.: 6879	
(Use several sheets if necessary)					Filing Date		Group	
Examiner					November 9, 2000		2161	
<b>U.S. Patent Documents</b>								
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate	
AM	A1	6,453,346 B1	09/17/2002	Garg et al.	709	224		
	A2							
<b>Foreign Patent Documents</b>								
*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
	B1						<div style="text-align: right;">JUN 23 2003</div> <div style="text-align: right;">GROUP 3600</div>	
<b>OTHER ART</b>								
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AM	C1	Hartley, B., "Intrusion Detection Systems: What You Need to Know," Business Security Advisor Magazine, Doc # 05257, allegedly dated September 1998, <a href="http://advisor.com/doc/05257">http://advisor.com/doc/05257</a> , 7 pages, printed June 10, 2003						
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AM	C6	Cisco Secure Intrusion Detection System 2.1.1 Release Notes, Table of Contents, Release Notes for NetRanger 2.1.1, © 1992-2002, Cisco Systems, Inc., , allegedly posted September 28, 2002, 29 pages, <a href="http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/nr11new.htm">http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/nr11new.htm</a> , printed June 10, 2003						
AM	C7	R. Power, et al., "CSI Intrusion Detection System Resource", allegedly dated July 1998, <a href="http://216.239.57.100/search?q=cache:gvTCojxD6nMJ:www.gocsi.com/ques.htm+site:www.gocsi.com+ques.html=en&amp;ie=UTF-8">http://216.239.57.100/search?q=cache:gvTCojxD6nMJ:www.gocsi.com/ques.htm+site:www.gocsi.com+ques.html=en&amp;ie=UTF-8</a> , printed June 16, 2003.						
Examiner					Date Considered			
<div style="text-align: right;">JUN 19 2003</div>					<div style="text-align: right;">7/9/04</div>			
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U.S. Department of Commerce, Patent and Trademark Office		Docket No.	Serial No.
(PTO Form 1449 modified)		SRI/4190-3 SEP 25 2003	09/711,323
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Applicant de Jesus Valdes, et al.	Confirmation No. 0979
Use several sheets if necessary)		Filing Date	Group
Examiner		November 9, 2000	2161

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AM	A11	5,919,258	07/06/1999	Kayashima et al.	713	201	
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AM	A22	6,460,141	10/01/2002	Olden	712	201	
AM	A23	6,519,703	02/11/2003	Joyce	713	201	
AM	A24	2002/0032717	03/14/2002	Malan et al.	709	105	05/15/2001
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(Use several sheets if necessary)		Filing Date November 9, 2000	Group 2161
Examiner			

AM	A28	2002/0144156	10/03/2002	Copeland, III	713	201	01/31/2002
AM	A29	2002/0138753	09/26/2002	Munson	713	200	03/15/2002
AM	A30	2003/0037136	02/20/2003	Labovitz et al.	709	224	06/27/2002

**Foreign Patent Documents**

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
AM	B1	99/13427	03/18/1999	WIPO	G06K	7/00	<input type="checkbox"/>	<input type="checkbox"/>
AM	B2	99/57626	11/11/1999	WIPO	G06F	1/16	<input type="checkbox"/>	<input type="checkbox"/>
AM	B3	00/10278	02/24/2000	WIPO	H04L		<input type="checkbox"/>	<input type="checkbox"/>
AM	B4	00/25214	05/04/2000	WIPO	G06F	12/14	<input type="checkbox"/>	<input type="checkbox"/>
AM	B5	00/25527	05/04/2000	WIPO	H04Q	3/00	<input type="checkbox"/>	<input type="checkbox"/>
AM	B6	00/34867	06/15/2000	WIPO	G06F	11/30	<input type="checkbox"/>	<input type="checkbox"/>
AM	B7	02/101516	12/19/2002	WIPO	G06F		<input type="checkbox"/>	<input type="checkbox"/>
	B8						<input type="checkbox"/>	<input type="checkbox"/>

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*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
AM	C1	Copeland, J., "Observing Network Traffic - Techniques to Sort Out the Good, the Bad, and the Ugly," <a href="http://www.csc.gatech.edu/~copeland/8843/slides/Analyst-011027.ppt">http://www.csc.gatech.edu/~copeland/8843/slides/Analyst-011027.ppt</a> , allegedly 2001
AM	C2	Denning et al, "Prototype IDES: A Real-Time Intrusion-Detection Expert System," SRI Project ECU 7508, SRI International, Menlo Park, California, Aug. 1987
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AM	C4	Farshchi, J., "Intrusion Detection FAQ, Statistical based approach to Intrusion Detection," <a href="http://www.sans.org/resources/idfaq/statistic_ids.php">http://www.sans.org/resources/idfaq/statistic_ids.php</a> , date unknown, printed 7/10/2003
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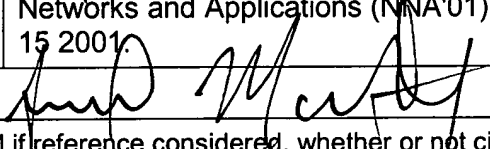
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(PTO Form 1449 modified)		SRI/4190-3	597111823
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Applicant	Confirmation
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M	C12	Lankewicz, et al., "Real-time Anomaly Detection Using a Nonparametric Pattern Recognition Approach", Proceedings of the 7th Annual Computer Security Applications Conference, San Antonio, Texas, 1991, IEEE Press.
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M	C19	Miller, L., "A Network Under Attack, Leverage Your Existing Instrumentation to Recognize and Respond to Hacker Attacks," <a href="http://www.netscout.com/files/Intrusion_020118.pdf">http://www.netscout.com/files/Intrusion_020118.pdf</a> , Date Unknown, pg 1-8
M	C20	Munson, et al., "Watcher: The Missing Piece of the Security Puzzle," Proceedings of the 17th Annual Computer Security Applications Conference (ACSAC'01), December 10-14 2001, New Orleans, LA, pp 230-239, IEEE Press.
M	C21	NetScreen, Products FAQ, <a href="http://www.netscreen.com/products/faq.html">http://www.netscreen.com/products/faq.html</a> , Date Unknown
M	C22	Porras, et al., "Live Traffic Analysis of TCP/IP Gateways," Proc. 1998 ISOC Symp. On Network and Distributed Systems Security, December 12, 1997, 1-13
M	C23	Porras et al, "EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances," 20 <sup>th</sup> NISSC - October 9, 1997.
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AM	C27	Smaha, "Haystack: An intrusion detection system". In Proceedings of the Fourth Aerospace Computer Security Applications Conference, pages 37-44, December 1988.
AM	C28	Snapp, "Signature Analysis and Communication Issues in a Distributed Intrusion Detection System," Master's Thesis, Department of Computer Science, University of California, Davis CA 95616, 1991.
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Examiner		Date Considered 2/9/04
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